

12-18-01

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PTO/SB/05 (11-00)

Approved for use through 10/31/2002. OMB 0651-0032

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Please type a plus sign (+) inside this box → ⊕

# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. 671-4 (P9937-US/ST-IMT/jsa)

First Inventor WON-SUK HEO

Title METHOD AND SYSTEM FOR DOWNLINK...

Express Mail Label No. EL 913582661 US

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)
2. ☐ Applicant claims small entity status.  
See 37 CFR 1.27.
3. ☒ Specification [Total Pages 21]  
(preferred arrangement set forth below)
  - Descriptive title of the invention
  - Cross Reference to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to sequence listing, a table, or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 5]
5. Oath or Declaration [Total Pages ]
  - a. ☐ Newly executed (original or copy)
  - b. ☐ Copy from a prior application (37 CFR 1.63 (d))  
(for continuation/divisional with Box 18 completed)
    - i. ☐ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
6. ☒ Application Data Sheet. See 37 CFR 1.76

ADDRESS TO: Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
  - a. ☐ Computer Readable Form (CRF)
  - b. Specification Sequence Listing on:
    - i. ☐ CD-ROM or CD-R (2 copies); or
    - ii. ☐ paper
  - c. ☐ Statements verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

9. ☐ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement of Power of Attorney (when there is an assignee)
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure Statement (IDS)/PTO-1449 [Copies of IDS Citations]
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503) (Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s) (if foreign priority is claimed)
16. ☐ Request and Certification under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
17. ☐ Other: .....

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.: \_\_\_\_\_/\_\_\_\_\_

Prior application information: Examiner \_\_\_\_\_ Group Art Unit: \_\_\_\_\_

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 19. CORRESPONDENCE ADDRESS

☐ Customer Number or Bar Code Label (Insert Customer No. or Attach bar code label here) or ☒ Correspondence address below

|         |                          |           |                |          |                |
|---------|--------------------------|-----------|----------------|----------|----------------|
| Name    | Paul J. Farrell, Esq.    |           |                |          |                |
|         | DILWORTH & BARRESE, LLP  |           |                |          |                |
| Address | 333 Earle Ovington Blvd. |           |                |          |                |
| City    | Uniondale                | State     | New York       | Zip Code | 11553          |
| Country | U.S.A                    | Telephone | (516) 228-8484 | Fax      | (516) 228-8516 |

|                   |                        |                                   |          |
|-------------------|------------------------|-----------------------------------|----------|
| Name (Print/Type) | Paul J. Farrell, Esq.  | Registration No. (Attorney/Agent) | 33,494   |
| Signature         | <i>Paul J. Farrell</i> | Date                              | 10/30/01 |

CERTIFICATION UNDER 37 C.F.R. § 1.10

I hereby certify that this correspondence and the documents referred to as enclosed are being deposited with the United States Postal Service on date below in an envelope as "Express Mail Post Office to Addressee" Mail Label Number EL 913582661 US addressed to: Assistant Commissioner for Patents, Box Patent Application, Washington, D.C. 20231.

Dated: 10/30/01

George Likourezos

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# FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$ 830.00)

## Complete if Known

|                      |                             |
|----------------------|-----------------------------|
| Application Number   |                             |
| Filing Date          |                             |
| First Named Inventor | WON-SUK HEO                 |
| Examiner Name        |                             |
| Group Art Unit       |                             |
| Attorney Docket No.  | 671-4 (P9937-US/ST-IMT/jsa) |

## METHOD OF PAYMENT (check one)

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:
- Deposit Account Number: 04-1121
- Deposit Account Name: DILWORTH & BARRESE, LLP
- ☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17
- ☐ Applicant claims small entity status. See 37 CFR 1.27
2. ☒ Payment Enclosed:
- ☒ Check ☐ Credit card ☐ Money Order ☐ Other

## FEE CALCULATION

### 1. BASIC FILING FEE

| Large Entity Fee Code (\$) | Small Entity Fee Code (\$) | Fee Description        | Fee Paid |
|----------------------------|----------------------------|------------------------|----------|
| 101 740                    | 201 370                    | Utility filing fee     | \$740.00 |
| 106 330                    | 206 165                    | Design filing fee      |          |
| 107 510                    | 207 255                    | Plant filing fee       |          |
| 108 740                    | 208 370                    | Reissue filing fee     |          |
| 114 160                    | 214 80                     | Provisional filing fee |          |

SUBTOTAL (1) (\$ 740.00)

### 2. EXTRA CLAIM FEES

| Total Claims       | Extra Claims | Fee from below | Fee Paid   |
|--------------------|--------------|----------------|------------|
| 25                 | -20** = 5    | x \$18 =       | \$90       |
| Independent Claims | 2            | -3** = 0       | x \$84 = 0 |
| Multiple Dependent |              | \$280 =        | 0          |

\*\*or number previously paid, if greater; For Reissues, see below

| Large Entity Fee Code (\$) | Small Entity Fee Code (\$) | Fee Description  |
|----------------------------|----------------------------|--|
| 103 18                     | 203 9                      | Claims in excess of 20                                     |
| 102 84                     | 202 42                     | Independent claims in excess of 3                          |
| 104 280                    | 204 140                    | Multiple dependent claim, if not paid                      |
| 109 84                     | 209 42                     | ** Reissue independent claims over original patent         |
| 110 18                     | 210 9                      | ** Reissue claims in excess of 20 and over original patent |

SUBTOTAL (2) (\$ 90.00)

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

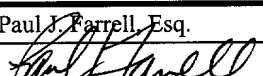
| Large Entity Fee Code (\$) | Small Entity Fee Code (\$) | Fee Description  | Fee Paid |
|----------------------------|----------------------------|--|----------|
| 105 130                    | 205 65                     | Surcharge - late filing fee or oath  |          |
| 127 50                     | 227 25                     | Surcharge - late provisional filing fee or cover sheet                     |          |
| 139 130                    | 139 130                    | Non-English specification  |          |
| 147 2,520                  | 147 2,520                  | For filing a request for <i>ex parte</i> reexamination                     |          |
| 112 920*                   | 112 920*                   | Requesting publication of SIR prior to Examiner action                     |          |
| 113 1,840*                 | 113 1,840*                 | Requesting publication of SIR after Examiner action                        |          |
| 115 110                    | 215 55                     | Extension for reply within first month                                     |          |
| 116 400                    | 216 200                    | Extension for reply within second month                                    |          |
| 117 920                    | 217 460                    | Extension for reply within third month                                     |          |
| 118 1,440                  | 218 720                    | Extension for reply within fourth month                                    |          |
| 128 1,960                  | 228 980                    | Extension for reply within fifth month                                     |          |
| 119 320                    | 219 160                    | Notice of Appeal   |          |
| 120 320                    | 220 160                    | Filing a brief in support of an appeal                                     |          |
| 121 280                    | 221 140                    | Request for oral hearing   |          |
| 138 1,510                  | 138 1,510                  | Petition to institute a public use proceeding                              |          |
| 140 110                    | 240 55                     | Petition to revive - unavoidable   |          |
| 141 1,280                  | 241 640                    | Petition to revive - unintentional   |          |
| 142 1,280                  | 242 640                    | Utility issue fee (or reissue)   |          |
| 143 460                    | 243 230                    | Design issue fee   |          |
| 144 620                    | 244 310                    | Plant issue fee  |          |
| 122 130                    | 122 130                    | Petitions to the Commissioner  |          |
| 123 50                     | 123 50                     | Processing fee under 37 CFR 1.17(q)  |          |
| 126 180                    | 126 180                    | Submission of Information Disclosure Stmt                                  |          |
| 581 40                     | 581 40                     | Recording each patent assignment per property (times number of properties) |          |
| 146 740                    | 246 370                    | Filing a submission after final rejection (37 CFR § 1.129(a))              |          |
| 149 740                    | 249 370                    | For each additional invention to be examined (37 CFR § 1.129(b))           |          |
| 179 740                    | 279 370                    | Request for Continued Examination (RCE)                                    |          |
| 169 900                    | 169 900                    | Request for expedited examination of a design application                  |          |

Other fee (specify) \_\_\_\_\_

\* Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$)

## SUBMITTED BY

|                   |   |                                   |          |           |                |
|-------------------|---|-----------------------------------|----------|-----------|----------------|
| Name (Print/Type) | Paul J. Farrell, Esq.   | Registration No. (Attorney/Agent) | 33,494   | Telephone | (516) 228-8484 |
| Signature         |  | Date                              | 10/30/01 |           |                |

## CERTIFICATION UNDER 37 C.F.R. § 1.10

I hereby certify that this correspondence and the documents referred to as enclosed are being deposited with the United States Postal Service on date below in an envelope as "Express Mail Post Office to Addressee" Mail Label Number EL 913582661 US addressed to: Assistant Commissioner for Patents, Box Patent Application, Washington, D.C. 20231.

Dated: 10/30/01

George Likourezos

PATENT

Atty. Docket No. 671-4 (P9937-US/ST-IMT/jsa)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

**BOX PATENT APPLICATION**

Assistant Commissioner for Patents  
Washington, D.C. 20231

UTILITY APPLICATION DATA SHEET UNDER 37 C.F.R. §1.76

Sir:

Transmitted herewith for filing is the patent application of

Inventor(s): WON-SUK HEO

For: METHOD AND SYSTEM FOR DOWNLINK CHANNELIZATION CODE  
ALLOCATION IN A UMTS

Enclosed are:

- [X] 13 page(s) of specification  
[X] 1 page(s) of Abstract  
[X] 7 page(s) of claims  
[X] 5 sheets of drawings [ ] formal [X] informal  
[ ] \_\_\_\_\_ page(s) of Declaration and Power of Attorney  
[ ] \_\_\_\_\_ page(s) of Assignment and Cover Sheet

ASSIGNEE NAME: SAMSUNG ELECTRONICS CO. LTD.

ASSIGNEE RESIDENCE: KYUNGKI-DO, KOREA

CERTIFICATION UNDER 37 C.F.R. § 1.10

I hereby certify that this New Application Transmittal and the documents referred to as enclosed therein are being deposited with the United States Postal Service on this date October 30, 2001 in an envelope as "Express Mail Post Office to Addressee" Mail Label Number EL 913582661 US addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231.

George Likourezos  
(Type or print name of person mailing paper)

  
(Signature of person mailing paper)

☐ This application claims the benefit under 35 U.S.C. §119(e) of U.S. Provisional Application(s) No(s)..  
APPLICATION NO(S)..  
\_\_\_\_\_/\_\_\_\_\_  
\_\_\_\_\_/\_\_\_\_\_

FILING DATE  
\_\_\_\_\_  
\_\_\_\_\_

☒ Certified copy of applications

Country

Appln. No.

Filed

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
from which priority under Title 35 United States Code, § 119 is claimed

☐ is enclosed.

☐ will follow.

CALCULATION OF UTILITY APPLICATION FEE

| For                             | Number<br>Filed              | Extra      | Rate       | Basic Fee       |
|---------------------------------|------------------------------|------------|------------|-----------------|
|                                 |                              |            |            | \$ 740.00       |
| Total<br>Claims*                | 25                           | -20 = 5    | x \$ 18.00 | \$ 90.00        |
| Independent<br>Claims           | 2                            | -3 = 0     | x \$ 84.00 | \$ 0            |
| Multiple<br>Dependent<br>Claims | <input type="checkbox"/> yes | Add'l. Fee | \$280.00   | \$              |
|                                 | <input type="checkbox"/> no  | Add'l. Fee | None       | = \$            |
|                                 |                              |            |            | TOTAL \$ 830.00 |

☐ Verified Statement of "Small Entity" Status Under 37 C.F.R. § 1.27. Reduced fees under 37 C.F.R. § 1.9(f) (50% of total) paid herewith \$\_\_\_\_\_.

\*Includes all independent and single dependent claims and all claims referred to in multiple claims.  
See 37 C.F.R. § 1.75(c).


[ ] The amount of \$40.00 for recording the attached Assignment is enclosed as a separate check.

[X] A check in the amount of \$ 830.00 to cover the filing fee(s) is attached.

[ ] Charge fee to Deposit Account No. 04-1121. Order No. \_\_\_\_\_  
**TWO (2) COPIES OF THIS SHEET ARE ENCLOSED.**

[X] Please charge any deficiency as well as any other fee(s) which may become due under 37 C.F.R. § 1.16 and 1.17, at any time during the pendency of this application, or credit any overpayment of such fee(s) to Deposit Account No. 04-1121. Also, in the event any extensions of time for responding are required for the pending application(s), please treat this paper as a petition to extend the time as required and charge Deposit Account No. 04-1121 therefor.  
**TWO (2) COPIES OF THIS SHEET ARE ENCLOSED.**

Date: October 30, 2001

  
Paul G. Farrell  
Reg. No. 33,494

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